



INFORMATION DISCLOSURE STATEMENT

Applicants:	Bomy Chen et al.
Application No.	10/653,015
Filed:	August 28, 2003
For:	Self-Aligned Method Of Forming A Semiconductor Memory Array Of Floating Gate Memory Cells With Buried Floating Gate, And A Memory Array Made Thereby
Group Art Unit:	2811
Examiner:	Not assigned yet
Attorney Docket No.:	2102397-992750

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

In accordance with the provisions of 37 C.F.R. § 1.56(a) and 37 C.F.R. § 1.97, Applicant(s) hereby make of record the references listed on the accompanying Form PTO-1449 for consideration by the Examiner in connection with the examination of the above-identified patent application.

This Information Disclosure Statement:

- (a) ☐ accompanies a new patent application submitted herewith.
- (b) ☐ is filed within three (3) months of the Filing Date or before the mailing date of a First Office Action on the merits; **OR**
- (c) ☒ is filed after the first Office Action and more than three months after the application's filing date or PCT national stage date of entry filing but, as far as is known to the undersigned prior to the mailing date of either a final rejection or a notice of allowance, and is accompanied by either the fee (\$180) set forth in 37 CFR § 1.17(p) or a certification as specified in 37 CFR § 1.97(e), as checked below **OR**
- (d) ☐ is filed after the mailing date of either a final rejection or a notice of allowance, and the issue fee has not been paid, and is accompanied by the requisite petition fee (\$130) set forth in 37 CFR § 1.17(l)(1) and a certification as specified in 37 CFR § 1.97(e), as checked below. This document is to be considered as a petition requesting consideration of the information disclosure statement.

As required under § 1.97(e), Applicants, through the undersigned, hereby state either that [check the appropriate space]:

- (e) ☐ Each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing date of the Information Disclosure Statement; or
- (f) ☐ No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

It is respectfully requested that each of the references shown on the attached Form PTO-1449 be made of record in this application. Copies of the references are enclosed



The Commissioner is authorized to charge any deficiencies and credit any overpayment of fees
to our Deposit Account No. 07-1896.

Respectfully submitted,

Date: August 5, 2004

GRAY CARY WARE & FREIDENRICH LLP

By: 
Alan A. Limbach

Reg. No. 39,749
Attorneys for Applicant(s)

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☒ Customer Number or Bar Code Label

26379

(Insert Customer No. or Attach bar code label here)

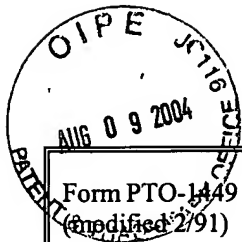
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*I hereby certify that this correspondence is being
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sufficient postage as FIRST CLASS MAIL in an envelope
addressed to: Commissioner for Patents; P. O. Box 1450,
Alexandria, VA 22313-1450.*

August 5, 2004

Date


Signature



Form PTO-1449 (modified 2/91)	U.S. DEPT. OF COMMERCE Patent and Trademark Office	Attorney Docket Number: 2102397-992750	Serial Number: 10/653,015
		Applicants: Bomy Chen et al.	
		Filing date: August 28, 2003	Group art unit: 2811

INFORMATION DISCLOSURE CITATION
(Use several sheets if necessary)

U.S. PATENT DOCUMENTS

Examiner Initial	Patent No. Publication No.	Date	Name	Class	Sub-class	Filing date if appropriate
	10/358,601	02/03	Kianian			
	10/358,623	02/03	Hu et al.			
	10/757,830	01/04	Yeh et al.			
	5,049,515	09/91	Tzeng			
	5,338,953	08/94	Wake			
	5,381,028	01/95	Iwasa			
	5,495,441	02/96	Hong			
	6,316,298	11/01	Lee			
	6,316,315	11/01	Hofmann et al.			
	6,521,944	02/03	Mirgorodski			
	6,538,275	03/03	Sugiyama et al.			
	6,541,815	04/03	Mandelman et al.			
	2003/0073275	04/03	Kianian et al.			

FOREIGN PATENT DOCUMENTS

Document number	Date	Country	Class	Sub-class	Translation YES NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	HAYASHI, Fumihiko and PLUMMER, James D., "A Self-Aligned Split-Gate Flash EEPROM Cell With 3-D Pillar Structure", 1999 Symposium on VLSI Technology Digest of Technical Papers, Center for Integrated System, Stanford University, Stanford, CA 94305, USA, pages 87-88
	SZE, Simon, "Physics of Semiconductor Devices", 2nd Edition, Wiley-Interscience, Basic Device Characteristics pages. 438-439
	BROWN, William D. et al.; "Nonvolatile Semiconductor Memory Technology, A Comprehensive Guide to Understanding And Using NVSM Devices", IEEE Press, pp. 33-34

Examiner:	Date Considered:
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP '609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.	



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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$180

Complete If Known

Application Number	10/653,015
Filing Date	August 28, 2003
First Named Inventor	Bomy Chen et al.
Examiner Name	Donghee Kang
Art Unit	2811
Attorney Docket No.	2102397-992750

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money ☐ other ☐ None

☐ Deposit Account:

Deposit Account Number: 07-1896
Deposit Account Name: Gray Cary Ware & Freidenrich LLP

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					0

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
36	-54** = 0	0	0
Independent Claims: 4	-5** = 0	0	0
Multiple Dependent			0

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple dependent claim, if not paid	
1204	86	2204	43	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 over original patent	
SUBTOTAL (2)					0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	77	2810	385	Request for Continued Examination (RCE)	
1802	90	1802	90	Request for expedited examination of a design application	
Other fee (Specify) _____					
* Reduced by Basic Filing Fee Paid					
SUBTOTAL (3)					180

SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	Alan A. Limbach	Registration No. (Attorney/Agent)	39,749	Telephone	650-833-2433
Signature		Date	August 5, 2004		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

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